

# Conducting Excellent Reviews

## The Collaboration Icon and Related Notes in PRISM 2007





## Collaboration

- Collaboration



(n) Col-lab-o-ra-tion

1. Act of working jointly.
2. To work jointly with others or together.

Example: The PDM and Fiscal reviewers collaborated to interview the governing body members during the triennial review.

- Team



2 (n) Team

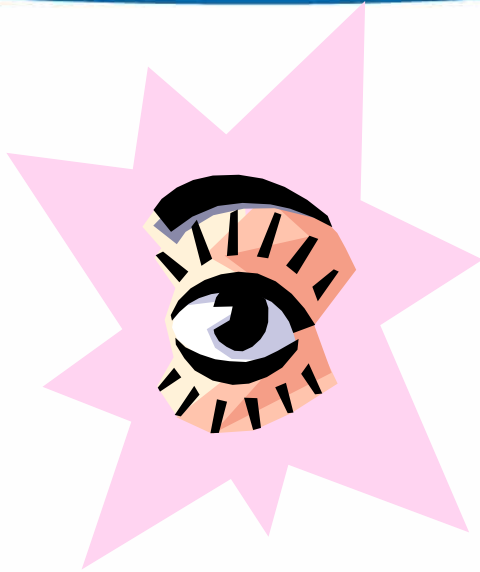
1. A number of persons associated in some joint action.
2. A group organized to work together.

Example: The team of reviewers collaborated during the Sunday night meeting.





## The Collaboration Icon



I see the icon but what does it mean?



The COLLABORATION icon illustrated here indicates that the Fiscal Reviewer should collaborate with the PDM Reviewer before answering the specified question. Note that the Governing Body Interview should be scheduled after sufficient services and fiscal information have been collected to provide specific factual context for the interview and to result in more detailed and relevant responses. The Governing Body Interview should include Service and Fiscal Reviewers as well as PDM Reviewers.





## The Collaboration Icon (cont.)

- While a review team typically collaborates during all phases of a review (team meetings, information gathering, interviews, etc) collaboration is essential and necessary between the Fiscal and PDM reviewers. These reviewers collaborate before answering the related compliance questions in the Protocol. The Fiscal and PDM reviewers work jointly to gather “sufficient services and fiscal information... in order to provide specific factual context for the governing body interview.” Collaboration results in more detailed and relevant responses to the protocol.





## Collaboration Icon (cont.)

- The need for collaboration between the Fiscal and Program Design and Management (PDM) Reviewers is apparent when reviewing the protocol questions. The Collaboration Icon alerts the reviewer when such collaboration is required for various sections of the protocol.





Select Review

Protocol Standards Findings Tools

- ☒ Health Services
- ☒ Nutritional Services
- ☒ Safe Environments
- ☒ Disabilities Services
- ☒ Mental Health Services
- ☒ Family and Community Services
- ☒ Transportation
- ☒ Education
- ☒ Fiscal Management
  - ☐ Section I - Overview
  - ☐ Section II - Governance
  - ☐ Section III - Financial Management
  - ☒ Section IV - Compliance
  - ☐ Section V - Program Development
  - ☐ Section VI - Personnel
  - ☐ Section VII - Planning
  - ☐ Section VIII - Communications
  - ☐ Section IX - Record-Keeping and Reporting
  - ☐ Section X - Human Resources

Here is an example of the Collaboration icon in the Protocol. In this example, the Fiscal reviewer is asked to collaborate with the PDM reviewer in conducting interviews as well as reviewing documents. The Fiscal reviewer is responsible for answering the Compliance Question. However, notes entered by the PDM reviewer will be shared with the Fiscal reviewer.

## SECTION V - Financial Reporting

Home Back Next Up

☒ Show Only My Notes ☒ Assign this Fiscal Management Protocol - Section V

Print

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## 5B Notes:

New Note

Paste

5C

Yes ☒ No

## 5C COMPLIANCE QUESTION

Are periodic financial status reports provided to grantee and delegate governing bodies, policy groups, and staff to advise them and to control program quality and maintain program accountability?

*Note: This question should be completed in collaboration with PDM Reviewers through joint interviews and document review. Also, notes provided for this question will be shared with the PDM Reviewer through the PRISM Software.*

[1304.51\(h\)\(1\)](#)

## 5C GROUND TO COVER – LOOK FOR, LISTEN FOR, ASK

## ADDRESS WITH THE FISCAL OFFICER AND AVAILABLE FISCAL STAFF:

- Are financial reports complete, accurate, and submitted on time?
- Is information classified and summarized in a reasonable manner, neither too detailed nor too condensed?
- Do the reports include sufficient detail (including budget information) to allow users to monitor the program's financial progress?

## 5C Notes:

New Note

Paste







Select Review

Protocol Standards Findings Tools

Filter: Show All Protocol Questions

Section V - Community Partners  
Mental Health Services  
Family and Community Services  
Section I - Staffing and Training  
Section II - Building Relationships with Families  
Section III - Strengthening Families through the Far  
Section IV - Encouraging Parent Participation

SECTION V - Financial Reporting

Home Back Next Up

Show Only My Notes Assign this Fiscal Management Protocol - Section V Print Print Preview

5C

Yes No

**5C COMPLIANCE QUESTION**

Are periodic financial status reports provided to grantee and delegate governing bodies, policy groups, and staff to advise them and to control program quality and maintain program accountability?

Note: This question should be completed in collaboration with PDM Reviewers through joint interviews and document review. Also, notes provided for this question will be shared with the PDM Reviewer through the PRISM Software.

1304.51(h)(1)

**5C GROUND TO COVER - LOOK FOR, LISTEN FOR, ASK ABOUT THE FOLLOWING:**

ADDRESS WITH THE FISCAL OFFICER AND AVAILABLE FISCAL STAFF:

- Are financial reports complete, accurate, and submitted on time?
- Is information classified and summarized in a reasonable manner, neither too detailed nor too condensed?
- Do the reports include sufficient detail (including budget information) to allow users to monitor the program's financial progress?

**5C Notes:**

3/6/2007 1:00:21 PM - Barry Allen

Delegate: DC Comics Method: Interview Area of concern

Center: DC 2 Source: Mr Smith

Notes: alert, alert! note for 5C FIS

Section VI - Eligibility, Enrollment, and Attendance  
Section VII - Planning  
Section VIII - Communications  
Section IX - Record-Keeping and Reporting  
Section X - Human Resources

**5C Notes:**

3/6/2007 1:00:21 PM - Barry Allen

Add Picture Copy Delete

In this example, a note entered by the Fiscal reviewer for Fiscal Section V, Question 5C will be shared with the PDM reviewer through the PRISM software.

- Are financial reports complete, accurate, and submitted on time?
- Is information classified and summarized in a reasonable manner, neither too detailed nor too condensed?
- Do the reports include sufficient detail (including budget information) to allow users to monitor the program's financial progress?



Select Review

Protocol Standards Findings Tools

Filter: Show All Protocol Questions

- Section I - Staffing and Training
- Section II - Transportation Services
- Section III - Strengthening Families through the Family and Community Partnership
- Section IV - Encouraging Parent Participation
- Section V - Building and Maintaining Community Partnerships
- Section VI - Financial Management
- Section VII - Health, Safety, and Nutrition
- Section VIII - Family and Community Engagement
- Section IX - Record-Keeping and Reporting

In this example, a note entered in Fiscal Section V, Question 5C will be forwarded to PDM Section IX, Question 9A.

## SECTION IX - Record-Keeping and Reporting

Home Back Next Up

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## A COMPLIANCE QUESTION

Are periodic financial status reports provided to grantee and delegate governing bodies, policy groups, and staff to advise them, control program quality, and maintain program accountability?

*Note: Information from the corresponding question in the Financial Reporting subsection of the Fiscal Management section will be shared with the PDM Reviewer through the PRISM Software.*

1304.51(h)(1)

## 9A GROUND TO COVER – LOOK FOR, LISTEN FOR, ASK ABOUT THE FOLLOWING:

- Do you receive financial status reports?
- How often do you receive them?
- What information do the financial status reports contain?

## 9A Notes:

New Note Paste

Barry Allen

Add Picture Copy Delete

Method: Interview Area of concern

Source: Mr Smith

Notes: alert, alert! note for 5C FIS





Select Review

Protocol	Standards	Findings	Tools
Health Services			
Section I - Staffing and Training			
Section II - Providing Health Services			
Section III - Involving Parents			
Section IV - Health Policies and Procedures			
Section V - EHS Programs Serving Pregnant Women or New Mothers			
Nutritional Services			
Section I - Staffing and Training			
Section II - Ur			
Section III - M			
Section IV - In			
Safe Environment			
Section I - Fac			
Section II - Hygiene			
Section III - Food Safety and Sanitation			
Disabilities Services			
Section I - Staffing and Training			
Section II - Coordinated Activities			
Section III - Outreach and Recruitment			
Section IV - Evaluation and Development of the IEP/IFSP			
Section V - Community Partners			
Mental Health Services			
Family and Community Services			
Transportation Services			
Education and Early Childhood Development Services			
Fiscal Management			
Section I - Organizational Capacity			
Section II - Use of Head Start Grant Funds			
Section III - Grant Property			
Section IV - Compensation			
Section V - Financial Reporting			
Section VI - Internal Controls			
Program Design and Management			
Section I - Program Governance			

## SECTION IV - Evaluation and Development of the IEP/IFSP

Home Back Next Up

Show Only My Notes

Assign this Disabilities Services Protocol - Section IV

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4E

☐ Yes ☒ No ☐ N/A

## 4E COMPLIANCE QUESTION

*Note: Please select "N/A" if this is **not** an HS program.*

Many questions do encourage collaboration. In this example, the notes entered for Disabilities Compliance Question 4E will be shared with Education and Early Childhood Development services section of the Protocol through the software.

approach for individual preschool disabilities consistent with their IEPs?

from the related question in the Providing Education and Development Services subsection of the Education and Early Childhood Development Services section will be shared with the Disabilities Reviewer through the PRISM software.

1308.19(e)(4)

## 4E GROUND TO COVER – LOOK FOR, LISTEN FOR, ASK

- Ask the disabilities coordinator who assists teaching staff and other staff providing direct services to children with disabilities how they ensure that the approach to education services is consistent with IEPs.
- Ask the disabilities coordinator to describe how children receive services defined in the IEP, both from the HS program and other agencies.

4E Notes:

New Note

Paste



## Collaboration in PRISM 2007

- Many sections of the protocol are completed in collaboration with other sections. This is apparent in the sharing of notes from one section to another.





Select Review

Protocol Standards Findings Tools

Health Services

- Section I - Staffing and Training
- Section II - Providing Health Services
- Section III - Involving Parents
- Section IV - Health Policies and Procedures

Disabilities Services

- Section I - Staffing and Training
- Section II - Coordinated Activities
- Section III - Outreach and Recruitment
- Section IV - Evaluation and Development of the IEI
- Section V - Community Partners

Mental Health Services

- Family and Community Services
- Transportation Services
- Education and Early Childhood Development Services

Fiscal Management

- Section I - Organizational Capacity
- Section II - Use of Head Start Grant Funds
- Section III - Grant Property
- Section IV - Compensation
- Section V - Financial Reporting
- Section VI - Internal Controls

Program Design and Management

- Section I - Program Governance

SECTION I - Staffing and Training

Home Back Next Up

Show Only My Notes Assign this Disabilities Services Protocol - Section I Print Print Preview

1A

1A COMPLIANCE QUESTION

Are management functions for disabilities services formally assigned to a staff person or persons?

Note: Notes provided for this question will be shared with the PDM Reviewer through the PRISM Software.

1304.52(a)(2)(ii)

1A GROUND TO COVER – LOOK FOR, LISTEN FOR, ASK

- Identify the person who manages disabilities services.
- Ask that person to describe his or her management responsibilities.

1A Notes: New Note Paste

1B

☐ Yes ☐ No

1B COMPLIANCE QUESTION

Can the grantee and delegate verify that the disabilities coordinator has training and experience in securing and individualizing needed services for children with disabilities?

Note: Notes provided for this question will be shared with the PDM Reviewer through the PRISM Software.

1304.52(d)(7)



Select Review

Protocol Standards Findings Tools

Filter: Show All Protocol Questions

- ☒ Health Services
- ☒ Nutritional Services
- ☒ Safe Environments
- ☒ Disabilities Services
  - ☒ Section I - Staffing and Training
  - ☐ Section II - Coordinated Activities
  - ☐ Section III - Outreach and Recruitment
  - ☐ Section IV - Evaluation and Development of the IEP/IF
  - ☐ Section V - Community Partners
- ☒ Mental Health Services
- ☒ Family and Community Services
- ☒ Transportation Services
- ☒ Education
- ☒ Fiscal Management
- ☒ Program Development
  - ☐ Section I - Internal Controls
  - ☐ Section II - Shared Decision-Making
  - ☐ Section III - Self-Assessment
  - ☒ Section IV - Ongoing Monitoring
  - ☐ Section V - Eligibility, Enrollment, and Attendance
  - ☐ Section VI - Planning
  - ☐ Section VII - Communications
  - ☐ Section VIII - Record-Keeping and Reporting
  - ☐ Section IX - Human Resources

Notes entered under Disabilities Services Compliance Question 1A will be shared with PDM Compliance Question (?)

## SECTION I - Staffing and Training

[Home](#) [Back](#) [Next](#) [Up](#)☒ Show Only My Notes☒ Assign this Disabilities Services Protocol - Section I[Print](#)[Print Preview](#)

**1A**

☐ Yes ☒ No

## 1A COMPLIANCE QUESTION

**Are management functions for disabilities services formally assigned to a staff person or persons?**

*Note: Notes provided for this question will be shared with the PDM Reviewer through the PRISM Software.*

**1304.52(a)(2)(ii)**

**1A GROUND TO COVER – LOOK FOR, LISTEN FOR, ASK ABOUT THE FOLLOWING:**

- Identify the person who manages disabilities services.
- Ask that person to describe his or her management responsibilities.

## 1A Notes:

[New Note](#)[Paste](#)

3/6/2007 3:39:25 PM - Barry Allen

[Add Picture](#)[Copy](#)[Delete](#)Delegate: Method: ☐ Area of concernCenter: Source: Notes:



Protocol Standards Findings Tools

Filter: Show All Protocol Questions

- ☒ Health Services
- ☒ Nutritional Services
- ☒ Safe Environments
- ☒ Disabilities Services
  - ☒ Section I - Staffing and Training
  - ☐ Section II - Coordinated Activities
  - ☐ Section III - Outreach and Recruitment
  - ☐ Section IV - Evaluation and Development of the IEP/IF
  - ☐ Section V - Community Partners
- ☒ Mental Health Services
- ☒ Family and Community Services
- ☒ Transportation Services
- ☒ Education and Early Childhood Development Services
- ☒ Fiscal Management
- ☒ Program Design and Management
  - ☐ Section I - Program Governance
  - ☐ Section II - Internal Controls
  - ☐ Section III - Shared Decision-Making
  - ☐ Section IV - Self-Assessment
  - ☒ Section V - Ongoing Monitoring
  - ☐ Section VI - Eligibility, Enrollment, and Attendance
  - ☐ Section VII - Planning
  - ☐ Section VIII - Communications
  - ☐ Section IX - Record-Keeping and Reporting
  - Section X - Human Resources**

## SECTION X - Human Resources

Home Back Next Up

☒ Show Only My Notes Print Print Preview

1304.52(a)(1)

**10J GROUND TO COVER – LOOK FOR, LISTEN FOR, ASK ABOUT THE FOLLOWING:**

- Do the grantee and delegate have an organizational chart?

Notes entered in corresponding areas of the protocol will be shared with the appropriate compliance questions. In this example, staffing and training subsection notes will be shared with the PDM reviewer. The following page shows notes that are shared with PDM Human Resources Section X, Question 10K

10J Notes:

New Note

Paste

10K

☐ Yes ☐ No

## 10K COMPLIANCE QUESTION

**Have the grantee and delegate formally assigned program management functions to a staff person or persons?**

*Note: Information from the corresponding question in the Staffing and Training subsection of each of the protocol's service area sections will be shared with the PDM Reviewer through the PRISM Software.*

1304.52(a)(2)(ii) 1304.52(a)(2)(iii)





Select Review

Protocol Standards Findings Tools

Filter: Show All Protocol Questions

- Health Services
- Nutritional Services
- Safe Environments
- Disabilities Services
  - Section I - Staffing and Training
  - Section II - Coordinated Activities
  - Section III - Outreach and Recruitment
  - Section IV - Evaluation and Development of the IEP/IF
  - Section V - Community Partners
- Mental Health Services
- Family and Community Services
- Transportation Services
- Education and Early Childhood Development Services
- Fiscal Management
- Program Design and Management
  - Section I - Program Governance
  - Section II - Internal Controls
  - Section III - Shared Decision-Making
  - Section IV - Self-Assessment
  - Section V - Ongoing Monitoring
  - Section VI - Eligibility, Enrollment, and Attendance
  - Section VII - Planning
  - Section VIII - Communications
  - Section IX - Record-Keeping and Reporting
  - Section X - Human Resources

## SECTION X - Human Resources

Home Back Next Up

Show All Notes Print Print Preview

breakfast cereals each week decreased their risk by 22%, while those eating 1 serving per week lowered theirs by 14%. Critics of this particular study say that the fact that whole grains came from cereal, as opposed to from some other

**HEA1A** 3/5/2007 11:45:39 AM - Barry Allen

Add Picture

Copy

Delete

Delegate: Marvel

Method: Interview

☐ Area of concern

Center: Marvel Center 1

Source: Healthy Grains

Notes: note

Here we see notes entered under Health Services and Disabilities Services (which relate to Staffing and Training) being shared with the PDM Human Resources subsection.

**DIS1A** 3/6/2007 3:39:25 PM - Barry Allen

Add Picture

Copy

Delete

Delegate: DC Comics

Method: Interview

☐ Area of concern

Center: DC 1

Source: Mr. Grace

Notes: note for 1A Disabilities Services



Select Review

Protocol Standards Findings Tools

- Health Services
  - Section I - Staffing and Training
  - Section II - Providing Health Services
  - Section III - Involving Parents
  - Section IV - Health Policies and Procedures
  - Section V - EHS Programs Serving Pregnant Women
- Nutritional Services
  - Section I - Staffing and Training
  - Section II - Understanding Children's Nutritional Needs
- Section III - Supporting Parents
- Family and Community Services
- Transportation Services
- Education and Early Childhood Development Services
- Fiscal Management
  - Section I - Organizational Capacity
  - Section II - Use of Head Start Grant Funds
  - Section III - Grant Property
  - Section IV - Compensation
  - Section V - Financial Reporting

As in our previous example, this Compliance Question did not require collaboration among one or more reviewers before the compliance question could be answered. Note the absence of the Collaboration icon or a note indicating the sharing of notes. Notes from this Compliance Question will not automatically be shared.

## SECTION II - Implementation of Mental Health Services

Home Back Next Up

Show Only My Notes

Assign this Mental Health Services Protocol - Section II

Print

Print Preview

2A

☐ Yes☐ No

## 2A COMPLIANCE QUESTION

**Do the certified or licensed mental health professional or professionals have a regular schedule of sufficient frequency to ensure timely and effective identification of and intervention in family and staff concerns about a child?**

[1304.24\(a\)\(2\)](#)

## 2A GROUND TO COVER – LOOK FOR, LISTEN FOR, ASK

- Ask the mental health services manager and mental health consultant to describe the “regular” schedule.
- Ask the mental health services manager and mental health consultant to describe how this schedule is implemented across all program options.
- How are staff and family concerns identified?
- Ask about the time between identification, and for examples of intervention.

2A Notes:

New Note

Paste

2B

☐ Yes☐ No

## 2B COMPLIANCE QUESTION

**Does onsite mental health consultation involve training and education on how to design and implement program practices**



## Related Questions and Related Notes

- Questions that relate to more than one section of the protocol are called related questions. These questions are distinguished by standard links within the compliance question which will take the reviewer to the notes for which those relevant standards apply. A reviewer should review the notes entered in related links before monitoring against the standard cited in the compliance question.





## Related Questions and related notes

### 5A COMPLIANCE QUESTION

**Has the grantee established and implemented procedures for ongoing monitoring of its EHS and HS operations as well as those of its delegates?**

An example of a related question with related notes.

*Note: Information from the related question in the Internal Controls subsection of the Fiscal Management section will be shared with the PDM Reviewer through the PRISM Software.*

**1304.51(i)(2)**

*Note: In monitoring against 1304.51(i)(2), the PDM reviewer should review all issues identified in the content area addressed by this question. These links take you to the screen on which notes related to the following standards appear:*

**1304.50(g)(2) 74.21(b)(3) 92.20(b)(3) A-133(200)(a) A-133(400)(d)(4)  
A-133(300)(f) A-133(315)(c)**

### 5A GROUND TO COVER – LOOK FOR, LISTEN FOR, ASK

- Ask governing body members and management staff to describe their ongoing monitoring process.
- Who completes the process, and how is it done?
- Ask governing body members and management staff to share monitoring tools, materials, or examples of monitoring reports.





Select Review

Protocol Standards Findings Tools

- ☒ Health Services
- ☒ Nutritional Services
- ☒ Safe Environments
- ☒ Disabilities Services
- ☒ Mental Health
- ☒ Family and Community
- ☒ Transportation
- ☒ Education and Early Childhood Development
- ☒ Fiscal Management
  - ☐ Section I - Program Governance
  - ☐ Section II - Internal Controls
  - ☐ Section III - Shared Decision-Making
  - ☐ Section IV - Self-Assessment
  - Section V - Ongoing Monitoring**
  - ☐ Section VI - Eligibility, Enrollment, and Attendance
  - ☐ Section VII - Planning
  - ☐ Section VIII - Communications
  - ☐ Section IX - Record-Keeping and Reporting
  - ☐ Section X - Human Resources

Distinguishing features of related questions and related notes include a standard link followed by related notes links.

## SECTION V - Ongoing Monitoring

Home Back Next Up

☒ Show Only My Notes☒ Assign this Program Design and Management Protocol - Section V

Print

Print Preview

5B

☐ Yes ☐ No

## 5B COMPLIANCE QUESTION

According to information collected by the Fiscal Reviewer or Reviewers, has the grantee demonstrated how it addresses noncompliance in its own financial management, as well as in the financial management of each of its delegates, to ensure that corrective actions are taken to implement Federal regulations effectively?

*Note: Information from the related question in the Internal Controls subsection of the Fiscal Management section will be shared with the PDM Reviewer through the PRISM Software.*

[1304.51\(i\)\(2\)](#)

*Note: In monitoring against 1304.51(i)(2), the PDM reviewer should review all issues identified in the content area addressed by this question. These links take you to the screen on which notes related to the following standards appear:*

[1304.50](#) [74.21\(b\)\(3\)](#) [92.20\(b\)\(3\)](#) [A-133\(200\)\(a\)](#) [A-133\(400\)\(d\)\(4\)](#)  
[A-133\(300\)\(f\)](#) [A-133\(315\)\(c\)](#)

## 5B GROUND TO COVER – LOOK FOR, LISTEN FOR, ASK

- Review documents, and ask governing body members and management staff what procedures or processes are established that allow them to detect noncompliance with Federal regulations related to fiscal management.
- Ask governing body members and management staff what actions they take to respond to any identified issues to ensure all Federal regulations related to fiscal management are effectively implemented.







## Related Questions and Related Notes

- **What is the difference between a related question with links and one without links?**

A 'related question' without the links does not require the level of collaboration found in 'related questions' with links. These questions relate to another area in the protocol which are not within the same protocol section. Notes for these questions are shared with the related protocol section.





Protocol Standards Findings Tools

Filter: Show All Protocol Questions

- ☒ Health Services
- ☒ Nutritional Services
- ☒ Safe Environments
- ☒ Disabilities Services
- ☒ Mental Health Services
- ☒ Family and Community Services
- ☒ Transportation Services
- ☒ Education and Early Childhood Development
- ☒ Fiscal Management
  - Section I - Organizational Capacity
  - Section II - Use of Head Start Grant Funds
  - Section III - Grant Property
  - Section IV - Compensation
  - ☒ Section V - Financial Reporting
  - Section VI - Internal Controls**
- ☒ Program Design and Management
  - Section I - Program Governance
  - Section II - Internal Controls
  - Section III - Shared Decision-Making
  - Section IV - Self-Assessment
  - ☒ Section V - Ongoing Monitoring
  - Section VI - Eligibility, Enrollment, and Attendance
  - Section VII - Planning
  - Section VIII - Communications
  - Section IX - Record-Keeping and Reporting
  - Section X - Human Resources

An example of a related question.

## SECTION VI - Internal Controls

[Home](#) [Back](#) [Next](#) [Up](#)☒ Show Only My Notes☒ Assign this Fiscal Management Protocol - Section VI[Print](#)[Print Preview](#)

6D

☐ Yes☐ No

## 6D COMPLIANCE QUESTION

Have the grantee and delegate conducted an annual audit in accordance with OMB Circular A-133?

*Note: This question also relates to the "control activities" aspect of internal controls. Also, notes provided for this question will be shared with the PDM Reviewer through the PRISM Software.*

**A-133(200)(a) A-133(400)(d)(4)**

## 6D GROUND TO COVER – LOOK FOR, LISTEN FOR, ASK ABOUT THE FOLLOWING:

*Note: Review the last 3 years' audits in advance.*

- Can fiscal staff furnish evidence of audits for the last 3 years?
- Ask the fiscal officer and fiscal staff whether the independent auditor has performed services for the grantee other than auditing the grantee and delegate's financial statements?

6D Notes:

[New Note](#)[Paste](#)



Select Review

Protocol Standards Findings Tools

Filter: Show All Protocol Questions

- ☒ Safe Environments
- ☒ Disabilities Services
  - ☒ Section I - Staffing and Training
  - ☐ Section II - Coordinated Activities
  - ☐ Section III - Outreach and Recruitment
  - ☐ Section IV - Evaluation and Development of the IEP
  - ☐ Section V - Community Partners
- ☒ Mental Health Services
  - ☐ Section I - Staffing and Training
  - ☐ Section II - Implementation of Services
  - ☒ Section III - Supporting Parents
- ☒ Family and Community Services
- ☐ Transportation Services
- ☒ Education and Early Childhood Development Services
- ☒ Fiscal Management
  - ☐ Section I - Organizational Capacity
  - ☐ Section II - Use of Head Start Grant Funds
  - ☐ Section III - Grant Property
  - ☐ Section IV - Compensation
  - ☒ Section V - Financial Reporting
  - ☒ Section VI - Internal Controls
- ☒ Program Design and Management
  - ☐ Section I - Program Governance
  - ☐ Section II - Internal Controls
  - ☐ Section III - Shared Decision-Making
  - ☐ Section IV - Self-Assessment
  - ☒ Section V - Ongoing Monitoring
  - ☐ Section VI - Eligibility, Enrollment, and Attendance
  - ☐ Section VII - Planning
  - ☐ Section VIII - Communications
  - ☐ Section IX - Record-Keeping and Reporting

## SECTION VI - Internal Controls

Home Back Next Up

☒ Show Only My Notes☒ Assign this Fiscal Management Protocol - Section VI

Print

Print Preview

A-133(200)(a) A-133(400)(d)(4)

**6D GROUND TO COVER – LOOK FOR, LISTEN FOR, ASK ABOUT THE FOLLOWING:***Note: Review the last 3 years' audits in advance.***FISCAL Section VI, Internal Control with note.**

evidence of audits for the last 3 years?

and fiscal staff whether the independent

auditor has performed services for the grantee other than auditing the grantee and delegate's financial statements?

**6D Notes:**

New Note

Paste

Add Picture

Copy

Delete

**3/6/2007 4:11:32 PM - Barry Allen**

Delegate: DC Comics

Method: Document Review

☐ Area of concern

Center: DC 1

Source: Financial Statements

Notes: note for FIS VI 6D



Select Review

Protocol Standards Findings Tools

Filter: Show All Protocol Questions

- ☒ Health Services
- ☒ Nutritional Services
- ☒ Safe Environments
- ☒ Disabilities Services
- ☒ Mental Health Services
- ☒ Family and Community Services
- ☒ Transportation Services
- ☒ Education and Early Childhood Development Services
- ☒ Fiscal Management
  - ☐ Section I - Organizational Capacity
  - ☐ Section II - Use of Head Start Grant Funds
  - ☐ Section III - Grant Property
  - ☐ Section IV - Compensation
  - ☒ Section V - Financial Reporting
  - ☐ Section VI - Internal Controls
- ☒ Program Design and Management
  - ☐ Section I - Program Governance
  - ☒ Section II - Internal Controls
  - ☐ Section III - Shared Decision-Making
  - ☐ Section IV - Self-Assessment
  - ☒ Section V - Ongoing Monitoring
  - ☐ Section VI - Eligibility, Enrollment, and Attendance
  - ☐ Section VII - Planning
  - ☐ Section VIII - Communications
  - ☐ Section IX - Record-Keeping and Reporting
  - ☐ Section X - Human Resources

## SECTION II - Internal Controls

Home Back Next Up

☒ Show Only My Notes Print Print Preview

2A

☐ Yes ☐ No

## 2A COMPLIANCE QUESTION

Has the governing body established and implemented appropriate internal controls to safeguard Federal funds?

*Note: Information from the related questions in the Organizational Capacity, Compensation, and Internal Controls section will be shared with the PDM Reviewer through the PRISM Software.*

1304.50(g)(2)

## 2A GROUND TO COVER – LOOK FOR, LISTEN FOR, ASK ABOUT THE FOLLOWING:

*Note: The prompts for this question appear in the Fiscal Management section. Also, this question should be completed only in collaboration with Fiscal Reviewers through joint interviews and document review.*



## 2A Notes:

New Note

Paste

Add Picture

Copy

Delete

[FIS6D](#) 3/6/2007 4:11:32 PM - Barry Allen

Delegate: DC Comics

Method: Document Review

☐ Area of concern

Center: DC 1

Source: Financial Statements



## Questions and Answers

